

# DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled METHODS AND COMPOSITIONS UTILIZING RAD51, the specification of which

(check one) ☐ is attached hereto.

☒ was filed on January 14, 1998 as  
Application Serial No. 09/007,020  
and was amended on \_\_\_\_\_.  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Foreign Application(s)			Priority Claimed	
_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No
_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No
_____	_____	_____	<input type="checkbox"/>	<input type="checkbox"/>
(Number)	(Country)	(Day/Month/Year Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>60/035,834</u>	<u>January 30, 1997</u>	<u>Pending</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)
<u>60/045,558</u>	<u>May 6, 1997</u>	<u>Pending</u>
(Application Serial No.)	(Filing Date)	(Status)
		(patented, pending, abandoned)

Direct all telephone calls to Richard F. Trecartin at (415) 781-1989.

Address all correspondence to:

FLEHR HOHBACH TEST  
ALBRITTON & HERBERT LLP  
Suite 3400, Four Embarcadero Center  
San Francisco, California 94111

File No. A-65680/RFT/RMS/DAV

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or  
first inventor:

Thomas Haaf

Inventor's signature:

Thomas Haaf

Date:

August 18, 1998

Residence:

NICOLAISTRASSE 28, 12247 Berlin, Germany

Citizenship:

Germany

Post Office Address:

NICOLAISTRASSE 28, 12247 Berlin, Germany

Full name of second  
inventor:

Efim Ilya Golub

Inventor's signature:

E. Golub

Date:

8/10/98

Residence:

123 York Street, Apt. 15E, New Haven, Connecticut 06511

Citizenship:

United States of America

Post Office Address:

123 York Street, Apt. 15E, New Haven, Connecticut 06511

Full name of third  
inventor:

Gurucharan Reddy

Inventor's signature:

Date:

Residence:

1405 Marshall Street, Redwood City, California 94063

Citizenship:

India

Post Office Address:

1405 Marshall Street, Redwood City, California 94063

Full name of fourth  
inventor:

Charles Meyer Radding

Inventor's signature:

Date:

Residence:

167 Armory Street, Hamden, Connecticut 06517

Citizenship:

United States of America

Post Office Address:

167 Armory Street, Hamden, Connecticut 06517

Full name of second  
inventor:

Efim Ilya Golub

Inventor's signature:

Date:

Residence:

123 York Street, Apt. 10K, New Haven, Connecticut 06511

Citizenship:

United States of America

Post Office Address:

123 York Street, Apt. 10K, New Haven, Connecticut 06511

Full name of third  
inventor:

Gurucharan Reddy

Inventor's signature:

Scharan

Date:

8-18-98

Residence:

1405 Marshall Street, Redwood City, California 94063

Citizenship:

India

Post Office Address:

1405 Marshall Street, Redwood City, California 94063

Full name of fourth  
inventor:

Charles Meyer Radding

Inventor's signature:

Date:

Residence:

167 Armory Street, Hamden, Connecticut 06517

Citizenship:

United States of America

Post Office Address:

167 Armory Street, Hamden, Connecticut 06517

Full name of second inventor: Efim Ilya Golub

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Residence: 123 York Street, Apt. 10K, New Haven, Connecticut 06511

Citizenship: United States of America

Post Office Address: 123 York Street, Apt. 10K, New Haven, Connecticut 06511

\_\_\_\_\_

Full name of third inventor: Gurucharan Reddy

Inventor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

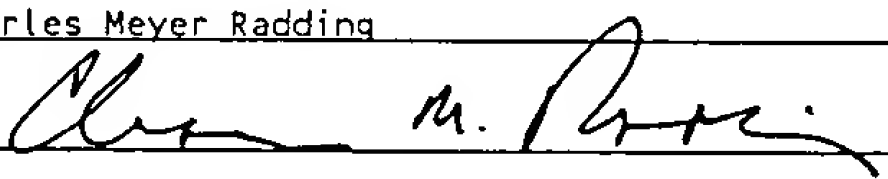
Residence: 1405 Marshall Street, Redwood City, California 94063

Citizenship: India

Post Office Address: 1405 Marshall Street, Redwood City, California 94063

\_\_\_\_\_

Full name of fourth inventor: Charles Meyer Radding

Inventor's signature: 

Date: August 25, 1998

Residence: 167 Armory Street, Hamden, Connecticut 06517

Citizenship: United States of America

Post Office Address: 167 Armory Street, Hamden, Connecticut 06517

\_\_\_\_\_

DECLARATION FOR PATENT APPLICATION

Full name of fifth  
inventor:

David C. Ward

Inventor's signature:

*David C. Ward*

Date:

*August 18th 1998*

Residence:

89 Quail Run, Madison, Connecticut 06443

Citizenship:

United States of America

Post Office Address:

89 Quail Run, Madison, Connecticut 06443

09182102-103790

Applicant or Patentee: Thomas Haaf, et al.  
Serial or Patent No.: 09/007,020  
Filed or Issued: 14 January 1998  
For: METHODS AND COMPOSITIONS UTILIZING RAD51

Attorney's Docket No.:  
A-65680/RFT/RMS/DAV

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY  
STATUS (37 CFR 1.9(f) and 1.27(d)) - NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION Yale University  
ADDRESS OF ORGANIZATION 451 College Street  
New Haven, Connecticut 06520

**TYPE OF ORGANIZATION**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION  
☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 USC 501(a) and 501(c)(3))  
☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_) (CITATION OF STATUTE \_\_\_\_\_)  
☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_) (CITATION OF STATUTE \_\_\_\_\_)

I hereby declare that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees under Section 41(a) or (b) of Title 35, United States Code, with regard to the invention entitled  
METHODS AND COMPOSITIONS UTILIZING RAD51

by inventor(s) Thomas Haaf; Efim Ilya Golub; Gurucharan Reddy; Charles Meyer Radding and David C. Ward

- ☐ the specification filed herewith  
☒ application serial no. 09/007,020, filed 14 January 1998  
☐ patent no. \_\_\_\_\_, issued \_\_\_\_\_

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization having rights to the invention as listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

NAME: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

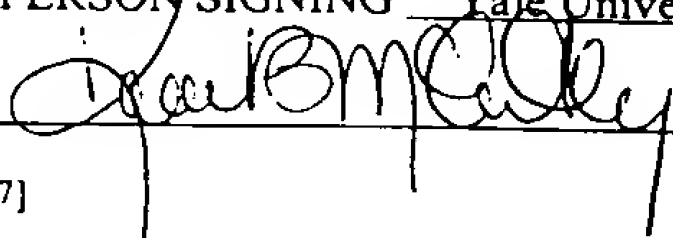
NAME: \_\_\_\_\_  
ADDRESS: \_\_\_\_\_

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Kara McCarthy  
TITLE IN ORGANIZATION Manager, Intellectual Property Affairs  
ADDRESS OF PERSON SIGNING Yale University, 451 College Street, New Haven, CT 06520

SIGNATURE  DATE 8/24/98